

17169 U.S. PTO  
041504

PTO/SB/05 (II -00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53 (b))</small>	<i>Attorney Docket No.</i>	N02.3003C1
	<i>First Inventor</i>	Kyungae Lee
	<i>Title</i>	Substituted Tetrahydroisoquinolines as C5a Receptor Modulators
	<i>Express Mail Label No.</i>	ER586113460US

<b>APPLICATION ELEMENTS</b> <i>See MEP chapter 600 concerning utility patent application contents.</i>	<b>ADDRESS TO:</b> Mail Stop Patent Application Commissioner for Patents P.O. Box 1450
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<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i></p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>121</u> ] <i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings <i>(if filed)</i></li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> <p>4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>3</u> ]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>3</u> ]</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy) 15. <input type="checkbox"/> Certified Copy of Priority Document(s)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 18 completed)</i></p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> 71 CD-ROM or CD-R in duplicate, large table or Computer Program <i>(Appendix)</i></p> <p>8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i></p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p>
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<b>ACCOMPANYING APPLICATION PARTS</b>	
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i>	
11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>	
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
13. <input checked="" type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>	
<i>(if foreign property is claimed)</i>	
16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
17. <input checked="" type="checkbox"/> Other:.....Express Mail Information.....	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....10/401,135.....

Prior application information: Examiner.....Zina Northington Davis..... Group Art Unit.- ...1625.....

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

<b>19. CORRESPONDENCE ADDRESS</b>					
<input type="checkbox"/> Customer Number or Bar Code Label		(Insert Customer No. or Attach bar code label here)or		<input checked="" type="checkbox"/> Correspondence address below	
Name	Ann T. Kadlecsek				
Address	Neurogen Corporation, 35 Northeast Industrial Road				
City	Branford	State	CT	Zip Code	06405
Country	U.S.A.	Telephone	203-315-4644	Fax	203-488-4710
Name (Print/Type)	Ann T. Kadlecsek		Registration No. (Attorney/Agent)	39,244	
Signature			Date	April 15, 2004	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

22596 U.S. PTO  
10/824826  
041504

In Re Application of: Kyungae Lee, et al.	)	
	)	
	)	Examiner: Not yet assigned
	)	
Serial No. :	Not yet assigned	)
	)	
Filing Date:	04/15/2004	)
	)	
For: Substituted Tetrahydroisoquinolines as	)	Art Unit: Not yet assigned
C5a Receptor Modulators	)	
Mail Stop Patent Application		
Commissioner for Patents		
P.O. Box 1450		
Alexandria, VA 22313-1450		

Attached hereto are the following papers which are being sent by Express Mail Post Office To Addressee Service to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria VA, 22313-1450 on April 15, 2004, with Express Mail No. ER586113460US:

1. Utility Patent Application Transmittal Form (1 page)
2. Application Data Sheet (1 page)
3. Patent Application Entitled "Substituted Tetrahydroisoquinolines as C5a Receptor Modulators" (120 pages)
4. Abstract (1 page)
5. Fee Transmittal Form (2 pages; 2 copies)
6. Check for \$514 (1 check)
7. Verified Statement Claiming Small Entity Status (2 pages)
8. Preliminary Amendment (7 pages)
9. Declaration and Power of Attorney (3 pages)
10. Return postcard

Date 4/15/2004

Signed \_\_\_\_\_

**PATENT**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Case No. N02.3003C1)

In Re Application of: Kuyungae Lee, et al.	)	
	)	
	)	Examiner: Not yet assigned
	)	
Serial No. :	Not yet assigned	)
		)
Filing Date:	04/15/2004	)
		)
For: Substituted Tetrahydroisoquinolines	)	Art Unit: Not yet assigned
as C5a Receptor Modulators	)	

**FEE TRANSMITTAL FORM**

**TOTAL AMOUNT OF PAYMENT:**                      \$514.00

**METHOD OF PAYMENT**

1. ☒ Payment Enclosed
- ☒ Check
- ☐ Money Order
- ☐ Other

2. ☒ The Commissioner is hereby authorized to charge any deficiencies or credit any overpayment to Deposit Account Number 501116.

Neurogen Corporation  
35 Northeast Industrial Road  
Branford, CT 06405  
203-488-8201

US Express Mailing No. ER586113460US

## FEE CALCULATION

1. ☒ Basic filing fee

Small entity fee code	Small entity fee	Fee Description	Fee Paid
2001	385	Filing Fee	\$385.00

Subtotal (1) \$385.00

2. ☐ Extra Claim Fees

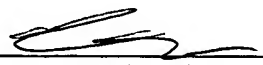
Small entity fee code	Small entity fee	Fee Description	Fee Paid

Subtotal (2) \_\_\_\_\_

3. ☐ Additional Fees

Small entity fee code	Small entity fee	Fee Description	Fee Paid
2201	129	3 Independent claims in excess of three	\$129.00

4/15/2004  
Date

By:   
Ann Kadlecek  
Reg. No. 39,244

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203-488-8201

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